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Typed or printed name

JOHN S. NAGY

Approved for use through 03/31/2007. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

January 2, 2007

Date

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# **TRANSMITTAL FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/705,989	
Filing Date	November 12, 2003	
First Named Inventor	Lilip Lau	
Art Unit	3736	
Examiner Name	Samuel G. Gilbert	
Attorney Docket Number	PARCR 65989	

	ENCLOSURES (Check all that apply)						
	ENGLOSORES (Check all that appl						
Fee Transmittal Form	Drawing(s)	After Allowance Communication to TC					
Fee Attached	Licensing-related Papers	Appeal Communication to Board of Appeals and Interferences					
Amendment / Reply	Petition	Appeal Communication to TC (Appeal Notice, Brief, Reply					
After Final	Petition to Convert to a Provisional Application	Proprietary Information					
Affidavits/declaration(s)	Power of Attorney, Revocation Change of Correspondence Address	Status Letter					
Extension of Time Request	Terminal Disclaimer	Other Enclosure(s) (please identify below):					
Express Abandonment Request	Request for Refund	Postcard Request for Certificate of Correction					
Information Disclosure Statement	CD, Number of CD(s) Landscape Table on CD						
Certified Copy of Priority Document(s)	Remarks	JAN I O ZOO?  Of Conection					
Reply to Missing Parts/ Incomplete Application	24201 JAN I (0 200						
moonplete Application		TO A COM					
Reply to Missing Parts under		Com					
37 CFR 1.52 or 1.53		- TOTAL					
SIGNATURE	OF APPLICANT, ATTORNEY, OR AGEN						
Firm Name FULWIDER PATTON		-					
Signature Jhu N	<u> </u>						
Printed name JOHN S. NAGY							
Date January 2, 2007	Reg. No.	30,664					
CED	TIFICATE OF TRANSMISSION/MAIL	NG .					

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on



### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of

LILIP L'AU ET AL.

Patent No.: 7,097,611 B2

Issued: August 29, 2006

Serial No: 10/705,989

Filed: November 12, 2003

For: EXPANDABLE CARDIAC HARNESS FOR TREATING CONGESTIVE HEART FAILURE

Examiner: Samuel G. Gilbert

Group Art Unit: 3736

Client ID/Matter No: PARCR 65989

January 2, 2007

Los Angeles, California

# REQUEST FOR CERTIFICATE OF CORRECTION

Certificate of Correction Department Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

The above-identified patent has been found to have the errors set forth in the enclosed Certificate of Correction. It is requested that this Certificate of Correction be issued and returned to us. Since these errors occurred in the final printing phase of the patent and in the final application, a check in the amount of \$100.00 is enclosed to

cover the necessary fees. If any additional fees are needed, please charge Deposit Account No. 06-2425.

The errors are verifiable in the patent application file as follows:

#### **ERROR**

### APPLICATION FILE

Page 1, U.S. PATENT DOCUMENTS, delete "5,562,616 A 10/1996 Haber et al.".

Printing error.

Page 4, column 1, OTHER PUBLICATIONS, after "Schetky, L. McDonald," delete "Shap- Memory" and insert --Shape-Memory--.

Applicant error.

Page 5, column 2, delete "Howard R. levin" and insert --Howard R. Levin--.

Applicant error

Column 20, line 56, after "may be a" delete "5".

Printing error.

These errors occurred in good faith and correction thereof does not involve such changes in the patent as would constitute new matter or would require re-examination.

It is requested that a Certificate of Correction be issued and returned to us.

Attached hereto, in duplicate, is Form PTO-1050, with at least one copy being suitable for printing.

# A duplicate of this document is attached.

Respectfully submitted,

FULWIDER PATTON LLP

Registration No. 30,664

JSN:ck Enclosures

Howard Hughes Center 6060 Center Drive, Tenth Floor Los Angeles, CA 90045 Telephone: (310) 824-5555

Facsimile: (310) 824-9696

Customer No. 24201

150277.1



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In re the application of

LILIP LAU ET AL.

Patent No.: 7,097,611 B2

Issued: August 29, 2006

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# A duplicate of this document is attached.

Respectfully submitted,

**FULWIDER PATTON LLP** 

By:

John S. Nagy

Registration No. 30,664

JSN:ck Enclosures

Howard Hughes Center 6060 Center Drive, Tenth Floor Los Angeles, CA 90045 Telephone: (310) 824-5555 Facsimile: (310) 824-9696

Customer No. 24201

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# UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO.

: 7,097,611 B2

APPLICATION NO.: 10/705,989

ISSUE DATE

: August 29, 2006

INVENTOR(S)

: Lilip Lau et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

#### Page 1,

U.S. PATENT DOCUMENTS, delete "5,562,616 A 10/1996 Haber et al.".

#### Page 4,

Column 1, OTHER PUBLICATIONS, after "Schetky, L. McDonald," delete "Shap-Memory" and insert -- Shape-Memory--.

Column 2, delete "Howard R. levin" and insert -- Howard R. Levin--.

#### Column 20,

Line 56, after "may be a" delete "5".

#### MAILING ADDRESS OF SENDER:

John S. Nagy **Fulwider Patton LLP** 6060 Center Drive, 10th Floor Los Angeles, CA 90045

This collection of information is required by 37 CFR 1.322 and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the burden, should be sent to the Chief of Information Officer, U.S. Patent and Trademark Office, U.S. Department, of Commerce, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner of Patents P.O. Box 1450 Alexandria, VA 22313-1450

Doc Code:

Approved for use through 01/31/2007. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Fees pursuant to the Consolidated Appro	opriatore Act 2005 (H.P.	Complete if Known				
		Application Number	10/705,989	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	7	
FEE TRANSI	WIIIAL	Filing Date	November 12, 2003 /	1/14	$\sum$	
for FY 200	)6	First Named Inventor	Lilip Lau	1 9 2000 8	90	
Applicant claims small entity status		Examiner Name	Samuel G. Gilbert	3		
Applicant claims small entity status	5. See 37 CFR 1.27	Art Unit	3736	The A	/	
TOTAL AMOUNT OF PAYMENT	(\$) \$100.00	Attorney Docket No.	PARCR 65989	MARK	Ī	

<u> </u>							
METHOD OF PAYMEN	IT (check all	that apply)					
Check Credit	Card 🔲	Money Order	None	Other (	please identify):		
Deposit Dep	osit Account	Number:	06-2425	Deposit A	ccount Name:	FULWII	DER PATTON
For the above-identified	deposit accour	nt, the Director is	s hereby author	rized to: (check al	I that apply)		
Charge	fee(s) indicated	d below		Charge	fee(s) indicated	below, except for	the filing fee
Charge	any additional	fee(s) or any un	derpayments of	f 🛛 Credit a	ny overpayment	s	
WARNING: Information on card information and autho	nder 37 CFR 1 this form may	become pubi	ic. Credit card	I information sh	ould not be inc	luded on this f	orm. Provide credit
FEE CALCULATION (			lue unon fil	ling or may h	e subject to	a surcharge	2)
				ing or may b	c subject to	a saronarge	~-
1. BASIC FILING, SEAR	•						
	FILING F		SEARCH		EXAMINA	TION FEES	
Application Type	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fees Paid(\$)
	300	150	500	250	200	100	i ces i aidiai
Utility							
Design	200	100	100	50	130	65	<del></del>
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEES	3						Small Entity
Fee Description						<u>Fee (\$)</u>	<u>Fee (\$)</u>
Each claim over 20 (inclu	ding Reissue	s)				50	25
Each independent claim o	ver 3 (includ	ing Reissues)				200	100
Multiple dependent claims	<b>3</b>					360	180
							Dependent Claims
Total Claims	<u>Extra</u>	<u>Fee (\$)</u>	<u>F</u>	ee Paid (\$)		<u>Fee (\$)</u>	Fee Paid (\$)
- 20 or HP =			<u> </u>	\$0.00_			
HP = highest number of total				as Daid (#)			
Indep. Claims - 3 or HP =	<u>Extra</u>	<u>Fee (\$)</u> x\$]	-	ee Paid (\$) \$0.00			
HP = highest number of indep  3. APPLICATION SIZE F	endent claims						
If the specification and dra 37 CFR 1.52(e)), the appl See 35 U.S.C. 41(a)(1)(G	awings excee ication size fe	e due is \$250	of paper (excl (\$125 for sm	uding electronic all entity) for ea	cally filed sequ ich additional 5	ence or compu 50 sheets or fra	ater listing under action thereof.
Total Sheets	Extra She			additional 50 or			
- 100 =	0	/ 50	0	_ (round <b>up</b> to	a whole	x <u>\$125.00</u>	
4. OTHER FEE(S)							Fee Paid (\$)
Non-English specification,		(no small entit					
Other (e.g., late filing surc	harge): Req	uest for Certifi	icate of Corre	ction			\$100.00

SUBMITTED BY		4				
Signature	JA	My w	Registration No. (Attorney/Agent)	30,664	Telephone	(310) 824-5555
Name (Print/Type)	0	JOHN S	. NAGY		Date	January 2, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Fees pursuant to the Consolidated Appropriatons Act, 2005 (H.R.		OIPE		
	Application Number	10/705,989		
FEE TRANSMITTAL	Filing Date	November 12, 2003 /	-104	
for FY 2006	First Named Inventor	Lilip Lau	0 9 2007	
	Examiner Name	Samuel G. Gilbert		
Applicant claims small entity status. See 37 CFR 1.27	Art Unit	3736	The second	

Check	TOTAL AMOUNT OF PA	YMENT	(\$)	\$100.00	Attorney Docket N	No. PARCI	R 65989	- Contraction of the Contraction
Deposit   Deposit   Deposit   Account Number:   06-2425   Deposit   Account Name:   FULWIDER FATTON	METHOD OF PAYMENT	METHOD OF PAYMENT (check all that apply)						
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)    Charge fee(s) indicated below   Charge fee(s) indicated below, except for the filling fee	Check Credit C	ard $\square$	Money Order	None	Other (	please identify)	:	
Charge fee(s) indicated below	Deposit Depos	sit Account	Number:	06-2425	Deposit A	ccount Name:	FULWID	DER PATTON
Charge any additional fee(s) or any underpayments of lee(s) under 37 CFR 1.16 and 1.17  WARNING: Information on this form may become public. Credit card Information should not be Included on this form. Provide credit card Information and authorization on PTO-2038.  FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)  1. BASIC FILING, SEARCH, AND EXAMINATION FEES  FILING FEES  SEARCH FEES  SEARCH FEES  SEARCH FEES  SMall Entity  Fee (\$)	For the above-identified d	eposit accou	ınt, the Director	is hereby auth	norized to: (check al	i that apply)		
MARNING: Information on this form may become public. Credit card Information should not be Included on this form. Provide credit card Information and authorization on PTO-2038.    FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)	Charge fe	e(s) indicate	d below		Charge	fee(s) indicated	below, except for	the filing fee
1. BASIC FILING, SEARCH, AND EXAMINATION FEES   SEARCH FEES   SEARCH FEES   Small Entity   Sma	fee(s) und	ler 37 CFR 1	1.16 and 1.17		Z 0.55		•	orm. Provide credit
FILING FEES   SEARCH FEES   SMAIL Entity   Small	FEE CALCULATION (A	I the fees	below are	due upon	filing or may b	e subject to	a surcharge	e.)
Application Type	1. BASIC FILING, SEARC	•	FEES	SEARC		EXAMIN		
Design 200 100 100 50 130 65  Plant 200 100 300 150 160 80  Reissue 300 150 500 250 600 300  Provisional 200 100 0 0 0 0 0  2. EXCESS CLAIM FEES  Fee Description  Each claim over 20 (including Reissues) 50 25  Each independent claims 50 160 180 180 180 180 180 180 180 180 180 18	Application Type	Fee (\$)				Fee (\$)		Fees Paid(\$)
Plant   200   100   300   150   160   80	Utility	300	150	500	250	200	100	
Reissue 300 150 500 250 600 300	Design	200	100	100	50	130	65	
Provisional 200 100 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	Plant	200	100	300	150	160	80	
2. EXCESS CLAIM FEES  Fee Description  Each claim over 20 (including Reissues)  Each independent claim over 3 (including Reissues)  Each independent claims  Multiple dependent claims  Total Claims  Extra  Fee (\$)  Fee Paid (\$)  Fee Paid (\$)  Fee (\$)  Fee Paid (\$)  Fee (\$)  Fee Paid (\$)	Reissue	300	150	500	250	600	300	
Fee Description  Each claim over 20 (including Reissues)  Each independent claim over 3 (including Reissues)  Back independent claim over 3 (including Reissues)  Multiple dependent claims  Total Claims  Extra  Fee (\$)  Fee Paid (\$)  - 20 or HP = x \$25.00 = \$0.00  HP = highest number of total claims paid for, if greater than 20.  Indep. Claims  - 3 or HP = x \$100.00 = \$0.00  HP = highest number of independent claims paid for, if greater than 3.  3. APPLICATION SIZE FEE  If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listing under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof.  See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).  Total Sheets  Extra Sheets  Number of each additional 50 or fraction thereof  10 - 100 = 0 /50 0 (round up to a whole or solution or small entity)  Fee (\$) Fee (\$) Fee (\$) Fee (\$) Fee Paid (\$) Fee (\$) Fee Paid (\$)	Provisional	200	100	0	0	0	0	<u> </u>
Total Claims    Extra   Fee (\$)   Fee Paid (\$)   Fee (\$)   Fee Paid (\$)    -20 or HP =                                  -20 or HP =                                  -20 or HP =                                    -20 or HP =	Fee Description Each claim over 20 (includ Each independent claim ov	J	•	s)			50 200	Fee (\$) 25 100
- 20 or HP = x \$25,00 = \$0.00  HP = highest number of total claims paid for, if greater than 20.  Indep. Claims	,							
HP = highest number of total claims paid for, if greater than 20.  Indep. Claims  - 3 or HP = x \$\frac{\text{Fee (\$)}}{\text{\$\scrt{\$\scrt{\$\scrt{\$\scrt{200.00}}}}} \text{\$\scrt{{\scrt{\$\scrt{{\scrt{\$\scrt{		<u>Extra</u>					Fee (\$)	Fee Paid (\$)
Indep. Claims  - 3 or HP = x \$\frac{\\$100.00}{\\$100.00} = \frac{\\$0.00}{\\$0.00}\$  HP = highest number of independent claims paid for, if greater than 3.  3. APPLICATION SIZE FEE  If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listing under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).  Total Sheets  - 100 = \frac{0}{0} / 50 \frac{0}{0} (round up to a whole x \frac{\\$125.00}{\\$125.00} = \frac{\\$60.00}{\\$0.00}  4. OTHER FEE(S)  Non-English specification, \$130 fee (no small entity discount)		laime naid fo			\$0.00			<del></del>
See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).  Total Sheets  - 100 = 0 / 50 0 (round up to a whole x \$125.00 = \$0.00 }  4. OTHER FEE(S)  Non-English specification, \$130 fee (no small entity discount)	Indep. Claims - 3 or HP = HP = highest number of indepe 3. APPLICATION SIZE FE If the specification and dray	Extra endent claim E wings exce	Fee (\$x s paid for, if greed 100 sheet	\$100.00 = eater than 3.	\$0.00 xcluding electroni	cally filed seq	uence or compo	uter listing under action thereof.
- 100 = 0 / 50 0 (round up to a whole x \$125.00 = \$0.00 4. OTHER FEE(S)  Non-English specification, \$130 fee (no small entity discount)	See 35 U.S.C. 41(a)(1)(G)	and 37 CF	R 1.16(s).					
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Non-English specification, \$130 fee (no small entity discount)			/ 30		(lould <b>up</b> to	a #11016	^ <u></u>	
	ł ' '	\$130 fee	(no small en	tity discount)				
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SUBMITTED BY	2	1 1				
Signature	JA	m Nyy	Registration No. (Attorney/Agent)	30,664	Telephone	(310) 824-5555
Name (Print/Type)	0	JOHN S	S. NAGY		Date	January 2, 2007

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